



8-75-1 Release of Retainage

Updated December 21, 2021

1.1 Originator

Project Development Section

1.2 Introduction

Per Additional Special Provision 4 (ASP-4), after granting Substantial Completion, the department **MAY** reduce the routine retainage withheld from the prime contractor to 75 percent of the original total amount retained. When the Department sends the Semi-Final estimate the department **MAY** reduce the routine retainage withheld from the Prime Contractor to 10 percent of the original total amount retained.

1.3 Process

After Substantial Completion, when the Prime Contractor requests that project staff reduce the routine retainer, the project manager **MAY** reduce the retainer to no less than 75 percent of the original retainer if the following conditions are satisfied:

- Per [Standard Specifications 105.11.2.1.3](#), contract bid items and change order work are complete with only Punch List items remaining.
- The Prime Contractor has indicated there is no upcoming extra work or payment claims.
- Major quantities are reviewed and agreed to with the Prime Contractor.
- Labor Compliance has indicated that the remaining retainage amount should cover potential payroll costs. Document with an email from OBOEC Labor Compliance staff that there are no outstanding payroll issues.
- Necessary materials documents have been submitted and any / all deficient materials have been addressed through appropriate price adjustment guidance.
- The retainage is for the whole contract, not individual Project ID's within that contract.
- The retainage is not reduced below the amount of potential liquidated damages, materials penalties, and / or wage claims.
- The retainage is not reduced to \$0.00 prior to the Final Estimate. A minimum of \$5000.00 is suggested.

If all of the conditions are met and the decision is made to reduce the retainage, the project manager will do the following:

- Check with your contract specialist prior to creating an estimate for the current amount of retainage in the Construction Administration System (CAS) and/or AWP -- Project Tracking sometimes does not show the correct amount.
- Use the [Routine Retainage Reduction Email Template](#), and fill in the appropriate information in the xxxx fields in the template. These fields are the Project ID in the subject line, the Substantial Completion date, the percent of retainage needed to cover potential costs, the dollar amount of the retainage that should remain, and the percent of the current amount equal to the dollar amount to be retained after the release of no more than 25% of the current retainage.
- Send the email to your office's contract specialist and cc the following:
 - Project Supervisor
 - Project Engineer
 - TSS (Technical Services Section) - Materials Supervisor
 - LCS (Labor Compliance Specialist) - Chief
- After the contract specialist reduces the retainer in CAS (Construction Administration System) and/or **AWP**, the contract specialist will email the project manager and project engineer that it is complete. The project engineer then refreshes the contract in FieldManager, generates the estimate, and sends the estimate. See the Field Software User's Guide (found in the Statewide Pantry Manuals and Guides) for more information.

Before the Semi-Final estimate is sent to the Prime Contractor, the project manager **MAY** reduce the retainer to no less than 10 percent of the original retainer if the following condition is satisfied, in addition to the requirements (above) for reducing the retainage at Substantially Complete:

- The Contract Items Review and the [DT2076](#) form are being worked on, all major quantities have been agreed to with the Prime Contractor, and the project manager is comfortable with the accuracy of the records.

If all of the conditions are met and the decision is made to reduce the retainage, the process to complete the reduction is as follows:

- The project manager emails a request to the contract specialist to reduce the retainage in CAS and/or AWP. Never reduce retainage to \$0.00 prior to final estimate. A \$5,000 minimum is suggested to cover any payroll or quantity discrepancies that arise, or any needed clean-up, removing silt fence, etc. that the counties may need to do if the contractor refuses to complete this work.
- The retainage must be reduced in the CAS system and/or AWP **BEFORE** a Semi-Final estimate is generated in FieldManager. The released retainage won't show up on the estimate if not done in this order. After the contract specialist reduces the retainer in CAS, the contract specialist will email the project manager and project engineer that it is complete.
- The project engineer then refreshes the contract in FieldManager and/or AWP, generates the Semi-Final estimate, and sends the estimate. See the Field Software User's Guide (found in the Statewide Pantry Manuals and Guides) for more information.

1.4 References

[Standard Specifications 105.11.2.1.3](#)

[Routine Retainage Reduction Email Template](#)

[DT2076](#)

SW Region Contract Specialist (La Crosse) - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

SW Region Contract Specialist (Madison) - *currently vacant*

SW Region TSS Materials Supervisor - Travis Mikshowsky, travis.mikshowsky@dot.wi.gov

OBOEC Labor Compliance Chief - Michael Staude, michael.staude@dot.wi.gov

Barb Gassen

1/10/2017

Author

Date

8-75-5 Contract Items Review Form DT2076

Updated May 3, 2021

5.1 Originator

Project Development Section

5.2 Introduction

This section provides regional guidance for the completion of Contract Items Review Form [DT2076](#), which is required by the Finals Process for Let Project Closeout.

5.3 Process

During the finals process, the Contract Items Review ([DT2076](#)) form, found in the Statewide Pantry Forms, is completed while reviewing the contract records. The project engineer initiates the review process by entering the contract information at the top of the form. The form and the contract records are then delivered to the project manager after Conditional Final Acceptance. The project manager or a reviewer designated by the project manager uses the following guidelines to select which contract item records to review and the depth of the review. The review of the contract items is documented on the form, and the reviewer signs and dates the form after completion.

1. The number of items to review is based on the following contract dollar amount:

Table 15.1

Original Contract Dollar Amount	Number of Items to Check
< \$500,000	4 items
\$500,000 - \$1,000,000	5 items
\$1,000,000 - \$2,000,000	6 items
\$2,000,000 – \$5,000,000	7 items

\$5,000,000 - \$10,000,000	8 items
> \$10,000,000	9 items

If multiple errors are found during the review, regardless of the contract amount, increase the number of items to be checked to 9. If a reviewer who is not the project manager is still not comfortable with the accuracy of the records, the project manager should be contacted. If the project manager is uncomfortable with the accuracy of the records, they should contact the Project Supervisor. The project manager and / or project supervisor may authorize even further review of contract items beyond the additional items.

2. Suggested Basis of Selection (from [DT2076](#)) is as follows:

- a. Do not select Lump Sum items, such as mobilization
- b. Choose at least one high dollar item (Basis B). Use the contract type to choose this item. For example, on a bridge project choose concrete masonry, on a concrete paving project choose concrete pavement, etc.
- c. Use the Explanation of Variation found in the Finals Records / Boxes to choose items with large quantity deviations (Basis D).
- d. If the contract has several similar items, such as storm sewer items, electrical wiring, etc., select one of those items to review (Basis F).
- e. If you are familiar with past recurrent problems, choose one of these items (Basis C).
- f. For the remaining items, use random selection (Basis G).

3. The Depth of Review (from form [DT2076](#)) is as follows:

- a. At least two items should be checked reviewing all operations I through Q (Depth R).
- b. On projects that have multiple categories with the same item in multiple categories, review one item for correct cost distribution (Depth Q)
- c. Use the outcome of "a" to decide the remaining Depth of Review. If there were issues with any of the reviews "I - Q", check additional items with the corresponding Depth of Review that was the issue.
- d. Randomly select the remaining Depth of Review.

5.4 References

[DT2076](#)

Construction SWIG Review Team (see [SWIG 8-95-5](#))

Barb Gassen

Author

1/10/2017

Date

8-75-10 Late Finals Reason Codes

Updated May 3, 2021

10.1 Originator

Project Development Section

10.2 Introduction

This section provides guidance on the correct use and entry of Late Finals Reason Codes in Project Tracking and/or AWP.

10.3 Process

The Finals Tracking report is updated each month and a link to the current regionally sorted spreadsheet is emailed to all PDS supervisors and project managers each month. The report shows updated information for all contracts currently in the finals process. This report contains goal dates for each step in the finals process. All project managers who have contracts in the finals process should review the report each month and coordinate with their project engineers to ensure their contracts are progressing through the finals process on schedule.

See Figure 10.1 below for the available Late Finals Reason Codes, and guidance on when each is to be used.

- 1) Late Finals Reason Codes for the interim goals should be entered for ALL of the goal dates, but ONLY if

the project staff (primarily the project manager) feel that missing that date would lead to missing the 180 day goal to complete the Finals Process. If missing an interim goal likely won't affect getting the finals done on time, there is no need to enter a Late Finals Reason Code and remark.

- 2) Late Finals Reason Codes and remarks should be entered as the Finals Process proceeds, not waiting until after the process passes the 180 day goal and is late. When the process passes the 180 day goal, if additional codes and remarks are needed to explain the delay, they should be entered.
- 3) For every Late Finals Reason Code entered, there must be a corresponding remark entered in this format: XXXX (reason code) - remarks explaining the issue (initials of project manager / contract specialist, date). No remarks should be entered without a corresponding Reason Code, and no Reason Codes should be entered without corresponding comments in the remarks field.
- 4) In the SW Region, all Late Finals Reason Codes and remarks will be entered by the contract specialists at the direction of the project managers, since the contract specialists are the only staff having write access to Project Tracking. The Materials and Labor Compliance staff do not have access for entering Late Reason Codes, so there will need to be communication between the project manager, the TSS staff, and the contract specialist regarding entry of the codes and remarks related to the TSS responsibilities. The project manager is responsible for emailing the appropriate TSS staff to determine the cause of any delays during the TSS reviews, documenting the response and providing the information to the contract specialist for entering the appropriate late codes and remarks.
- 5) In the SW Region, contractor names will not be included in the comments for claims or wage investigations.
- 6) In the SW Region, entering a "resolved" comment and date for each of the remarks is not required, but may be added if the project manager desires.

At the completion of the finals process, when the Final Estimate is approved, the project manager should review all of the Late Finals Reason Codes and comments for accuracy and coordinate with the contract specialist to update or correct them if needed. Historical information should not be removed, but if inaccurate information was entered, corrections should be made as soon as any errors are discovered.

Examples:

- CDLY - Contractor did not return the subcontractor's Final Payment and Retainage Certification. (initials, date)
- PLST - WisDOT and the contractor mutually agreed to extend the punch list to 6/1/2016 for work that could not be completed with current traffic restrictions due to another nearby project. (initials, date)
- SFST - LCS vacancies led to falling behind in timely review of project payrolls. (initials, date)
- OTHR - Computer program failure caused delay in sending final estimate. (initials, date)

Table 10.1 - Late Finals Reason Codes

CODE	DESCRIPTION	EXPLANATION
CDLY	Contractor Delay	Use when delays occur due to the contractor not responding to inquiries; not submitting material certifications or other documentation on time, etc.
CLMS	Claims	Use when a claim (other than Wage/Investigation Labor Compliance) or lien has been filed on a project.
CNQI	Construction Quality Issues / Repairs to be Addressed	Use when projects need repair, warranty issues are pending, or when additional work is needed on a project.
DNRP	DNR WPDES Permit Coverage Not Terminated	Use when projects with WPDES permits have not fulfilled permit requirements and/or DNR has not terminated permit coverage.
MTLS	Nonconforming Materials	Use when issues with nonconforming materials or missing QMP tests need to be resolved. Do not use when issues with staffing or waiting for material certifications.
OTHR	Other	Use for any unique circumstances. Attempt to initially use other descriptions within this document first. Whenever this code is used, describe the issue completely in the Finals Remarks field. Do not use as a catch all.
PLFC	Project engineer Delay / Final Correction Needed	Use when project leader does not turn the records in on time or when finals have been reviewed and corrections are needed or missing documents have to be submitted by the project leader.
PLST	Punch List Items to be Completed	Use when there is still minor punch list work that has not yet been completed.
QTYD	Quantity Disputes	Use for quantity disputes with the contractor after the semi final has been sent and the 30 day period has expired.
SFST	Staff Shortages	Use when regional office staff is not available to perform timely reviews due to vacant positions or workload assignments. Whenever this code is used, describe the functional area (PDS, MATL, LCS) in the Finals Remarks field.
WCLC	Wage Claim/Investigation Labor Compliance	Use when wage claims or any investigation of labor compliance occurs.

10.4 References

SW Region Contract Specialist (La Crosse) - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

SW Region Contract Specialist (Madison) - *currently vacant*

Construction SWIG Review Team (see [SWIG 8-95-5](#))

Barb Gassen

Author

1/10/2017

Date

8-75-15 As-Builts

Updated February 16, 2021

15.1 Originator

Project Development Section

15.2 Introduction

This section provides guidance on the preparation and uploading of as-built construction plans as required in the project finals process.

15.3 Process

The Construction and Materials Manual ([CMM 1-65.14](#)) provides the guidance and requirements for the preparation of construction as-built plans.

Section IV (Finals Records), Subsection C (Project Information), Item 13 of either the [Construction Administration Guide for SW Region Projects \(Field Manager\)](#) or [Construction Administration Guide for SW Region Projects \(AWP\)](#) provides the guidance and requirements for file naming and upload locations for construction as-built plans.

15.4 References

[CMM 1-65.14](#) As-Built Plans

[Construction Administration Guide for SW Region Projects \(Field Manager\)](#)

[Construction Administration Guide for SW Region Projects \(AWP\)](#)

SW Region Contract Specialist (La Crosse) - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

SW Region Contract Specialist (Madison) - *currently vacant*

Construction SWIG Review Team (see [SWIG 8-95-5](#))

Jim Oettinger

Author

9/11/2018

Date

8-75-20 Finals Boxes & Records Storage

Updated February 16, 2021

20.1 Originator

Project Development Section

20.2 Introduction

This section provides guidance on requirements for finals records storage.

20.3 Process

In the Madison and Edgerton offices, no binders or legal size wallets are allowed for finals records, including materials records, since they will not fit in the storage areas in the file room or on the dock. All finals records must be in letter size redrope wallets.

In the La Crosse office, finals records that are not paperless should go into the manila expandable files that the project engineer receives with their packet at the beginning of the project. If more files are needed for paperwork, please contact the La Crosse Contract Specialist.

Project labels supplied in the project engineer packet must be placed on the lower left corner of the front flap of each wallet. If there are multiple wallets, they should be numbered in sequence (1 of 3, 2 of 3, etc.).

See page 12 of either the [Construction Administration Guide for SW Region Projects \(Field Manager\)](#) or [Construction Administration Guide for SW Region Projects \(AWP\)](#) for the items to include.

20.4 References

[Construction Administration Guide for SW Region Projects \(Field Manager\)](#)

[Construction Administration Guide for SW Region Projects \(AWP\)](#)

SW Region Contract Specialist (La Crosse) - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

SW Region Contract Specialist (Madison) - *currently vacant*

Construction SWIG Review Team (see [SWIG 8-95-5](#))

Barb Gassen

Author

3/13/2017

Date

8-75-25 Finals Tracking Spreadsheet Review

Updated February 4, 2020

25.1 Originator

Project Development Section

25.2 Introduction

This section provides guidance for PDS Project Managers and Supervisors to review the Finals Tracking Spreadsheet to follow the progress of their projects through the finals process.

25.3 Process

The [Statewide Construction Finals Tracking Report](#) (link available to internal staff only) is sent to the Region

Program Control Design QA Engineer around the 12th of each month. The statewide report is filtered down to show only SW Region projects and then sent out to SW Region Project Managers and Supervisors. A copy of the [SWR Construction Finals Tracking Report](#) (*link available to internal staff only*) is placed in P\Support.

To see ONLY your projects, click the down arrow button for either the Project Manager (PM) or the Supervisor, then click the “select all” box to remove that check mark. Click on the name of the PM or Supervisor whose projects you want to see. Look through the entire list and check ALL the various spellings used for the name.

Where the “security warning” is showing that macros have been disabled near the top of the page, click on the “options” button and then “enable this content” and “ok” This allows you to “unhide” some hidden columns showing goal dates, etc.

If you want to be able to see the goal dates, and other hidden columns, click on the “Details” button at the top of the spreadsheet

The goal dates for various points in the finals process are based on the timeframes in the Finals Process. Clicking on the cell with the goal date in it will show you the formula if you want to know what those dates are based on.

Column BX of the report titled “(Remaining) Days Over/Under 180” will have a number for any contracts that are in the finals process. The number will be green if you are not past the goal date of 180 days for completing the finals, and will be red if your finals are beyond 180 days and therefore considered late. If this cell is blank, the contract in that row has either not started or has completed the finals process.

Column BV of the report indicates whether the goal was met and column BW will show how many days it took for that contract to complete the finals process. If all three of these columns are blank, the contract is not yet substantially complete, and has not begun the finals process.

For any contracts that are in the finals process and past the goal date, check that the Late Finals reason codes and remarks (columns BT & BU) are accurate and up-to-date. If not, contract your Contract Specialist to get the information updated in Project Tracking.

To add critical Finals Process dates and reminders to your Outlook Calendar, use this application that was developed by the NW Region. Required files can be accessed at the following location:

[Finals Tracking Reminder Tools](#) (*link available to internal staff only*)

25.4 References

[Statewide Construction Finals Tracking Report](#) (*link available to internal staff only*)

[SWR Construction Finals Tracking Report](#) (*link available to internal staff only*)

[Finals Tracking Reminder Tools](#) (*link available to internal staff only*)

Program Control Design QA Engineer - Mike Rud, michael.rud@dot.wi.gov

SW Region Contract Specialist (La Crosse) - Sharayah Sikkema, sharayah.sikkema@dot.wi.gov

SW Region Contract Specialist (Madison) - *currently vacant*

Construction SWIG Review Team (see [SWIG 8-95-5](#))

Barb Gassen

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3/13/2017

Date

8-75-30 Partial Acceptance

March 10, 2020

30.1 Originator

Project Development Section

30.2 Introduction

This section provides guidance on the approval process for Partial Acceptance when requested by the contractor.

30.3 Process

As described in [Standard Specifications 105.11.1](#), upon completion of a portion of the work, the contractor may request partial acceptance of that work.

If the contractor requests Partial Acceptance, the Project Manager will arrange a meeting with the Bureau of Project Development (BPD) Oversight Construction Engineer, PDS Chief and PDS Supervisor to discuss if

Partial Acceptance is appropriate and consistent with other projects in the region and statewide. Issuing of Partial Acceptance will only take place upon concurrence in this meeting.

30.4 References

[Standard Specifications 105.11.1](#)

BPD Oversight Construction Engineer (*interim*) - Dave Pilon, david.pilon@dot.wi.gov

Construction SWIG Review Team (see [SWIG 8-95-5](#))

8-75-35 Curb Ramp Compliance Post Construction Report

March 10, 2020

35.1 Originator

Project Development Section

35.2 Introduction

This section provides guidance on completion of the [Curb Ramp Compliance Post Construction Report](#) upon completion of the project.

35.3 Process

The [Curb Ramp Compliance Post Construction Report](#) will be completed and forwarded to the Region Bike/Pedestrian Coordinator following construction completion. Note, the report must be submitted by February 1st of the year after construction so it is advised that measurements be taken while still in the field.

For local program projects, the [Curb Ramp Compliance Post Construction Report](#) will be completed and an electronic scan kept in the project design drive. Forward the scan to the local municipality.

35.4 References

[Curb Ramp Compliance Post Construction Report](#)

Region Bike/Pedestrian Coordinator (La Crosse) - Francis Schelfhout, francis.schelfhout@dot.wi.gov

Region Bike/Pedestrian Coordinator (Madison) - Michelle Brokaw, michelle.brokaw@dot.wi.gov

Construction SWIG Review Team (see [SWIG 8-95-5](#))